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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Deng, et al.			Docket No. 15436.182.1	
Application No. 10/646,422	Filing Date 08/22/2003	Examiner Unknown	Customer No. 022913	Group Art Unit 2874

O P E
 OCT 29 2004
 PATENT & TRADEMARK OFFICE

Invention: **POLARIZATION INDEPENDENT PACKAGING FOR POLARIZATION SENSITIVE OPTICAL WAVEGUIDE AMPLIFIER**

I hereby certify that the following correspondence:


Transmittal Letter (2 pgs, in triplicate); Information Disclosure Statement (2 pgs); Form PTO-1449 Listing all Cited References (2 pgs); Legible Copies of 5 Cited References; postcard; and Certificate of Express Mailing Label No. EV 494 039 794 US

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
15436.182.1

In Re Application Of: **Deng, et al.**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/646,422	08/22/2003	Unknown	022913	2874	9657

Title: **POLARIZATION INDEPENDENT PACKAGING FOR POLARIZATION SENSITIVE OPTICAL WAVEGUIDE AMPLIFIER**



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37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
15436.182.1

In Re Application: Deng, et al

Application No. 10/646,422	Filing Date 08/22/2003	Examiner Unknown	Customer No. 022913	Group Art Unit 2874	Confirmation No. 9657
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Title: **POLARIZATION INDEPENDENT PACKAGING FOR POLARIZATION SENSITIVE OPTICAL WAVEGUIDE AMPLIFIER**

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

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- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.
- ☐ Charge the amount of _____
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R. Burns
Signature

Dated: October 29, 2004.

R. BURNS ISRAELSEN
Attorney for Applicant
Registration No. 42,685
Customer No. 022913

CC:

Applicant: Deng, et al.

Serial No.: 10/646,422

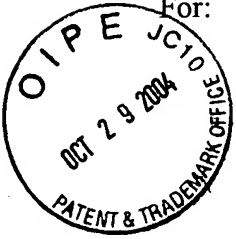
Att'y Docket No.: 15436.182.1

Filing Date: August 22, 2003

Group: 2874

For:

POLARIZATION INDEPENDENT PACKAGING FOR
POLARIZATION SENSITIVE OPTICAL WAVEGUIDE
AMPLIFIER



INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

Examiner <u>Initial*</u>	Document <u>Number</u>	Issue <u>Date</u>	<u>Name</u>
NONE			

Foreign Patent Documents

Examiner <u>Initial*</u>	Document <u>Number</u>	Publication <u>Date</u>	Country or <u>Patent Office</u>
NONE			

Other Documents

(including author, title, pertinent pages, etc.)

Examiner
Initial*

- | | |
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| _____ 1 | Djordjev, Konstadin et al, "Microdisk Tunable Resonant Filters and Switches," <u>IEEE Photonics Technology Letters</u> , Vol. 14, No. 6, June 2002, pp. 828- 830. |
| _____ 2 | K&L Microwave Inc., "A Tunable, Dielectric Waveguide Filter," Augusy 1998, http://www.klmicrowave.com/news/articlearch/aug1998mj.htm , pp. 1-3. |
| _____ 3 | Mateus, Carlos F. R. et al., "MEMS Tunable Filters," http://buffy.eecs.berkely.edu/ResearchSummary/02abstracts/mateus.1.html , viewed April 16, 2003, pp. 1-3. |
| _____ 4 | Pfeiffer, J. et al., "Tunable Wavelength-Selective WDM Photodetector Based on MOEMS," Institut Fur Hochfrequenztechnik, pp. 94-98. |
| _____ 5 | Sadot, Dan et al., "Tunable Optical Filters for Dense WDM Networks," IEEE Communications Magazine, December 1998, http://www.comsoc.org/ci/private/1998/dec/sadot.html , pp. 1-9. |

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Applicant: Deng, et al.

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For: POLARIZATION INDEPENDENT PACKAGING FOR
POLARIZATION SENSITIVE OPTICAL WAVEGUIDE
AMPLIFIER

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

CAJ0000000722V001

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